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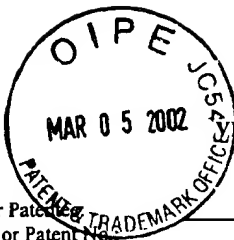
Attorney Docket No. 19744P-000300

FORM PTO-1595 (Rev. 6-93)		Recordation Form Cover Sheet (Patents Only)		U.S. Department of Commerce Patent and Trademark Office	
To the Honorable Asst. Commissioner for Patents. Please record the attached original documents or copy thereof					
1. Name of conveying party(ies): MICHAEL A. EVANS & DENISE M. DEMARAIS Additional name(s) of conveying parties attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No.		2. Name and address of receiving party(ies) Name: BACCHUS VASCULAR, INC. Internal Address: Street Address: 3260 ALPINE ROAD City: PORTOLA VALLEY State: CA ZIP: 94028 Additional names and addresses attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: Execution Date: OCTOBER 13, 1999					
4. Application Number(s) or Patent Numbers. If this document is being filed together with a new application, the execution date of the application is: A. Patent Application No(s): 09/388,294 B. Patent No(s): Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
5. Name and address of party to whom correspondence concerning document should be mailed: Name: JAMES M. HESLIN TOWNSEND AND TOWNSEND AND CREW LLP Two Embarcadero Center, 8 th Floor San Francisco, California 94111-3834 (415) 576-0200		6. Total number of applications and patents involved 01 7. Total fee (37 CFR 3.41): \$40.00 <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Charge Fees to Deposit Account <input checked="" type="checkbox"/> Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account. 8 Deposit account number: 20-1430			
DO NOT USE THIS SPACE					
9. Statement and signature. <i>To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.</i> JAMES M. HESLIN Name of Person Signing Atty Reg. No. 29,541 Signature  NOVEMBER 22, 1999 Date Total number of pages including cover sheet, attachments and document 02					
10. Change Correspondence Address to that of Part 5? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No					
OMB No. 0651-0011 (exp. 4/94)					
Do not detach this portion Mail documents to be recorded with required cover to: Asst. Commissioner for Patents Box: Assignments Washington, D.C. 20231					



My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **METHODS AND APPARATUS FOR ACCESSING AND TREATING BODY LUMENS** the specification of which XX is attached hereto or _____ was filed on _____ as Application No. _____ and was amended on _____ (if applicable).

Signature of Inventor 1	Signature of Inventor 2
<u>MICHAEL A. EVANS</u>	<u>DENISE M. DEMARAIS</u>
Date	Date



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Attorney Docket No.: 19744P-000300

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c)) - SMALL BUSINESS CONCERN

Applicant or Patentee: MICHAEL A. EVANS et al.
Application or Patent No.: 09/388,294
Filed or Issued: SEPTEMBER 1, 1999
Title: METHODS AND APPARATUS FOR ACCESSING AND TREATING BODY LUMENS

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below.

Name of Small Business Concern: BACCHUS VASCULAR, INC.
Address of Small Business Concern: 3260 Alpine Road
Portola Valley, CA 94028

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled METHODS AND APPARATUS FOR ACCESSING AND TREATING BODY LUMENS by inventor(s) described in:

- ☐ the specification filed herewith;
☒ Application No. 09/388,294, filed SEPTEMBER 1, 1999;
☐ Patent No. _____, issued _____.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Name: ///
Address: _____
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Robert A. Cline, Jr.
Title of Person if Other than Owner: VP. Gen Mgr
Address of Person Signing: 3260 Alpine Road
Portola Valley, CA 94028

Signature: Robert A. Cline Date: 10/14/99



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Attorney Docket No.: 19744P-000300

DECLARATION


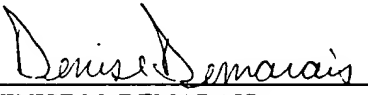
As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **METHODS AND APPARATUS FOR ACCESSING AND TREATING BODY LUMENS** the specification of which is attached hereto or XX was filed on **SEPTEMBER 1, 1999** as Application No. **09/388,294**.

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Full Name of Inventor 1:	Last Name: EVANS	First Name: MICHAEL	Middle Name or Initial: A.	
Residence & Citizenship:	City: Palo Alto	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 637 Webster Street	City: Palo Alto	State/Country: California	Postal Code: 94301
Full Name of Inventor 2:	Last Name: DEMARAI	First Name: DENISE	Middle Name or Initial: M.	
Residence & Citizenship:	City: San Jose	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 1684 Cassiar Drive	City: San Jose	State/Country: California	Postal Code: 95130

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  MICHAEL A. EVANS	Signature of Inventor 2  DENISE M. DEMARAI
Date 10/13/99	Date 10-13-99

PA 3019030 v1



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MARCH 07, 2002

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TOWNSEND AND TOWNSEND AND CREW LLP
JAMES M. HESLIN
TWO EMBARCADERO CENTER
8TH FLOOR
SAN FRANCISCO, CA 94111-3834

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UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231
Jm Heslin



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UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/26/1999

REEL/FRAME: 010428/0004
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
EVANS, MICHAEL A.

DOC DATE: 10/13/1999

ASSIGNOR:
DEMARAIS, DENISE M.

DOC DATE: 10/13/1999

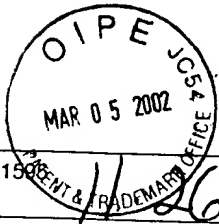
ASSIGNEE:
BACCHUS VASCULAR, INC.
3260 ALPINE ROAD
PORTOLA VALLEY, CALIFORNIA 94028

SERIAL NUMBER: 09388294
PATENT NUMBER:

FILING DATE: 09/01/1999
ISSUE DATE:

ANTIONE ROYALL, EXAMINER
ASSIGNMENT DIVISION
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(Rev. 6-93)

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U.S. Department of Commerce
Patent and Trademark Office

To the Honorable Asst. Commissioner for Patents: Please record the attached original documents or copy thereof

1. Name of conveying party(ies):

MICHAEL A. EVANS & DENISE M. DEMARAIS

Additional name(s) of conveying parties attached?

☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: BACCHUS VASCULAR, INC.

Internal Address:

Street Address: 3260 ALPINE ROAD

City: PORTOLA VALLEY State: CA ZIP: 94028

Additional names and addresses attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other:

Execution Date: OCTOBER 13, 1999

4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 09/388,294

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: JAMES M. HESLIN
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved 01

7. Total fee (37 CFR 3.41): \$40.00

☐ Enclosed ☒ Charge Fees to Deposit Account

☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.

8. Deposit account number: 20-1430

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.

JAMES M. HESLIN
Name of Person Signing

Signature

NOVEMBER 22, 1999
Date

Atty Reg. No. 29,541

Total number of pages including cover sheet, attachments and document 02

10. Change Correspondence Address to that of Part 5?

☒ Yes ☐ No

OMB No. 0651-0011 (exp. 4/94)

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Asst. Commissioner for Patents
Box: Assignments
Washington, D.C. 20231

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ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, **MICHAEL A. EVANS**, of 637 Webster Street, Palo Alto, California 94301, **DENISE M. DEMARAIS**, of 1684 Cassiar Drive, San Jose, California 95130, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: **METHODS AND APPARATUS FOR ACCESSING AND TREATING BODY LUMENS**

Date(s) of execution of Declaration: October 13, 1999 (please fill-in)

Filing Date: **September 1, 1999**
Application No.: **09/388,294**; and

WHEREAS, **BACCHUS VASCULAR, INC.**, a corporation of the state of Delaware, located at 3260 Alpine Road, Portola Valley, California, 94028, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.


Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, 8th Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 10/13/99


MICHAEL A. EVANS

Dated: 10.13.99


DENISE M. DEMARAIS